

12-21-01

A

Commissioner for Patents  
Washington, DC 20231  
ATTN: BOX PATENT APPLICATION

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

Docket No.: 00-849

Date: December 17, 2001

Sheet 1 of 2

U.S. Express Mail Label No.:

EL744442068US

Inventor Name(s):

CHARLES W. BUCEY; TIMOTHY A. BOOTH; STEVEN W. CLAYTON; AND ROBERT M. JONES

Title:

APPARATUS AND METHOD FOR TESTING A RECUPERATOR CORE FOR LEAKAGE

☒ Fee Transmittal Form Attached in Duplicate

☒ Specification and Claim(s) [Total Pages  ]

☒ Drawing(s) [Total Sheets  ]

Declaration

[Total Pages  ]

☒ Newly Executed (Original or Copy)

☐ Copy From Prior Application (37 CFR § 1.63(d))

☐ Deletion of Inventor(s) (37 CFR § 1.63(d)(2))  
(Signed Statement Attached)

☒ Assignment Papers (Cover Sheet and Document(s))

☐ 37 CFR § 3.73(b) Statement (if applicable) ☐ Power of Attorney

☐ English Translation Document (if applicable)

☒ Information Disclosure Statement (IDS)/PTO-1449

☒ Copies of IDS Citations

☐ Preliminary Amendment

☒ Return Receipt Postcard (Specifically Itemized)

☐ Certified Copy of Priority Document(s)

☐ Other

--Continue Next Page--

1042 U.S. PRO  
12/17/01

10023585 121701

10872 U.S. PRO  
10/023585  
12/17/01

Sheet 2 of 2

If a Continuing Application

☐ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP)

of prior Application No.: ;

Examiner : ; and

Group/Art Unit:

☐ Cancel Claims:

For Continuations or Divisional Applications only: The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

Correspondence Address:

☒ Customer Number or Bar Code Label:

719

or

☐ Correspondence address below:

Name:

Address:

City:

State:

Zip Code:

Country:

\*\*\*\*\*

Attorney/Agent: Larry G. Cain

Registration No.: 31,150

Signature: Larry G. Cain

Caterpillar Inc.

Date: December 17, 2001

12/17/01

11042 U.S. PTO

Approved for use through 10/31/2002. OMB 0651-0032  
 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)

740

## Compleat if Known

Application Number	(Unassigned)
Filing Date	(Herewith)
First Named Inventor	Charles W. Bucey ET AL.
Examiner Name	(Unassigned)
Group Art Unit	(Unassigned)
Attorney Docket No.	00-849

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-1129  
 Deposit Account Name \_\_\_\_\_

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	740
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) 740

### 2. EXTRA CLAIM FEES

Total Claims 20 -20\*\* = 0 x 18 = 0  
 Independent Claims 2 -3\*\* = 0 x 84 = 0  
 Multiple Dependent \_\_\_\_\_ = \_\_\_\_\_

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

## SUBMITTED BY

Name (Print/Type) Larry G. Cain

Signature \_\_\_\_\_

Registration No. (Attorney/Agent)

31,150

## Complete (if applicable)

Telephone (309) 675-4922

Date 12/15/2001

**WARNING: Information on this form may become public. Credit card information should not be included in this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.